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BATS Y-Exchange, Inc. Membership Application and Agreements

In order to join BATS Y-Exchange, Inc., an applicant Broker-Dealer ("Applicant") must complete and submit all materials listed on the Application Checklist below, to: BATS Y-Exchange, Inc. Attn: Membership Services, 8050 Marshall Drive, Suite 120, Lenexa, KS 66214.

APPLICATION CHECKLIST
<input type="checkbox"/> Membership Application (pages 2-4)
<input type="checkbox"/> Statutory Disqualification Notice (pages 5)
<input type="checkbox"/> Clearing Letter of Guarantee (only if you are <u>not self-clearing</u>) (page 6)
<input type="checkbox"/> User Agreement (pages 7-12)
<input type="checkbox"/> Routing Agreement (pages 13-16)
<input type="checkbox"/> Three Party Service Bureau Agreement (if applicable) (page 17)
<input type="checkbox"/> Most recent <u>signed and notarized</u> Form BD, including schedules & disclosure reporting pages
<input type="checkbox"/> A Form U-4 for each officer, director and equity holder who owns 5% or more of Applicant's outstanding equity interests, <u>if not available on WebCRD®</u> .
<input type="checkbox"/> Most recent audited annual financial statements, if applicable, including Independent Auditors' Report on Internal Control, and unaudited financial statements as of the last month end
<input type="checkbox"/> FOCUS Reports since last annual audit
<input type="checkbox"/> Organizational Documents: Articles of Incorporation and Bylaws; Partnership Agreement; Limited Liability Company Agreement or Operating Agreement; or similar documentation

Note: All application materials sent to BATS Y-Exchange, Inc. (the "Exchange") will be reviewed for completeness. All applications are deemed confidential and are handled in a secure environment. Applications may, however, be shared with other self-regulatory organizations (e.g., FINRA), as necessary, to evaluate and process the application.

The Exchange may request applicants to submit documentation in addition to what is listed in the Application Checklist during the application review process, pursuant to Exchange Rule 2.6. If you have questions on completing the application, you may direct them to Membership Services at membershipservices@batstrading.com or 913-815-7002. In addition, please refer to the Exchange's website at www.batstrading.com for additional information regarding the membership process.